



DOCKET NO. ORT-1436

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicants: Virginia SMITH-SWINTOSKY, Michael RENZI, Carlos PLATA-SALAMAN,  
Linda JOLLIFFE, Francis FARRELL and Dana JOHNSON

Serial No.: 09/863,600

Art Unit: Not Assigned

Filed: 23 May 2001

Examiner: Not Assigned

For: **NEUROPROTECTIVE PEPTIDES**

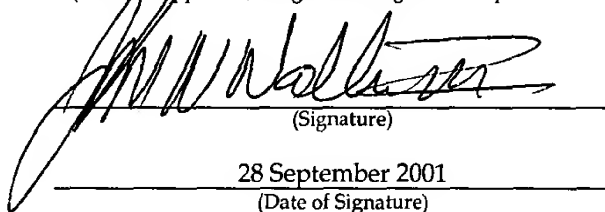
I hereby certify that this correspondence is being deposited with the United States  
Postal Service as first class mail in an envelope addressed to:  
Box Missing Parts, Assistant Commissioner for Patents, Washington, DC 20231 on

28 September 2001

(Date of Deposit)

John W. Wallen, III

(Name of applicant, assignee, or Registered Representative)



(Signature)

28 September 2001

(Date of Signature)

Assistant Commissioner for Patents  
BOX: MISSING PARTS  
Washington, D.C. 20231

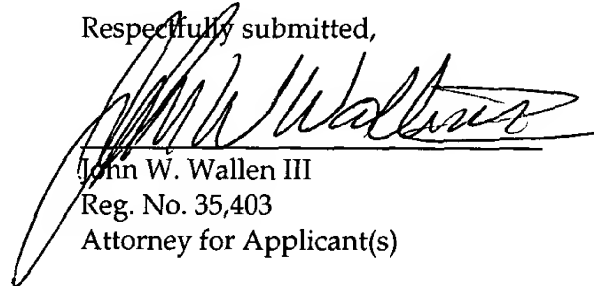
**SUBMISSION OF COMBINED DECLARATION AND POWER OF ATTORNEY**

Dear Sir or Madam:

Pursuant to Rule 53(f) and Rule 54, please find enclosed a Combined Declaration and Power of Attorney for the application of Virginia Smith-Swintosky, Michael Renzi, Carlos Plata-Salaman, Linda Jolliffe, Francis Farrell and Dana Johnson, entitled "Neuroprotective Peptides", Attorney Docket No. ORT-1436, to complete, pursuant to Rule 51, this application filed on May 23, 2001 by Express Mail pursuant to Rule 10. As required, a copy of the Notice to File Missing Parts of Application is also attached.

Please charge Johnson & Johnson Deposit Account No. 10-0750/ORT-1436/JWW in the amounts of \$130.00 for submission of the Declaration pursuant to Section 1.16(e). The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Account No. 10-0750/ORT-1443/JWW. This sheet is submitted in triplicate.

Respectfully submitted,

A handwritten signature in black ink, appearing to read "John W. Wallen III", is written over a horizontal line. The signature is fluid and cursive.

John W. Wallen III

Reg. No. 35,403

Attorney for Applicant(s)

Johnson & Johnson  
One Johnson & Johnson Plaza  
New Brunswick, NJ 08933-7003  
(858) 784-3239  
DATE: 28 September 2001

Sector #



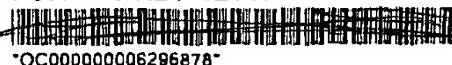
## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/863,600	05/23/2001	Virginia Smith-Swintosky	ORT1436

CONFIRMATION NO. 9298

## FORMALITIES LETTER



\*OC00000006296878\*

Philip S. Johnson, Esq.  
Johnson & Johnson  
One Johnson & Johnson Plaza  
New Brunswick, NJ 08933-7003

Date Mailed: 07/16/2001



## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

10/12/2001 5:11PM S1 00000003 100750 09863600

FILED UNDER 37 CFR 1.53(b)

02 FC105

130.00 CH

Filing Date Granted

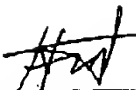
An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.
- A copy of the "Sequence Listing" in computer readable form has been submitted. However, the content of the computer readable form does not comply with the requirements of 37 C.F.R. 1.822 and/or 1.823, as indicated on the attached copy of the marked -up "Raw Sequence Listing." Applicant must provide a substitute computer readable form (CRF) copy of the "Sequence Listing" and a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d).

For questions regarding compliance to these requirements, please contact:

- For Rules Interpretation, call (703) 308-4216
- To Purchase PatentIn Software, call (703) 306-2600
- For PatentIn Software Program Help, call (703) 306-4119 or e-mail at [patin21help@uspto.gov](mailto:patin21help@uspto.gov) or [patin3help@uspto.gov](mailto:patin3help@uspto.gov)

A copy of this notice **MUST** be returned with the reply.



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Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



10-09-01  
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DOCKET NO. ORT-1436

2001 OCT 16 PM 4:15  
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

OFFICE OF THE  
COMMISSIONER FOR PATENTS

Applicants: Virginia SMITH-SWINTOSKY, Michael RENZI, Carlos PLATA-SALAMAN, Linda JOLLIFFE, Francis FARRELL and Dana JOHNSON

Serial No.: 09/863,600 Art Unit: Not Assigned

Filed: 23 May 2001 Examiner: Not Assigned

For: NEUROPROTECTIVE PEPTIDES

Assistant Commissioner for Patents  
Washington, D.C. 20231  
BOX: STIC (Patent Applications)

RESPONSE TO RAW SEQUENCE LISTING ERROR REPORT

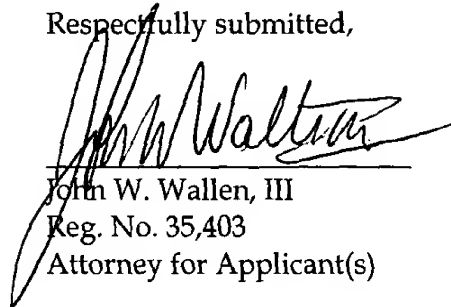
Sir:

In connection with the Patent Application identified above, Applicant has received a RAW SEQUENCE LISTING ERROR REPORT ("report") which was mailed 16 July 2001.

Submitted herewith are a paper copy and computer-readable copy of the sequence listing for the above-referenced application. The following statements are made as required by 37 C.F.R. 1.821(f) and 37 C.F.R. 1.821(g): I hereby state that the content of the attached paper and computer readable copies of the Sequence Listing are the same. The written form of the sequence listing enclosed herewith does not go beyond the disclosure in the application as filed. I hereby state that the content of the attached paper and computer readable copies of the Sequence Listing contain no new matter.

If the Patent Office should have any questions concerning this matter, please contact the undersigned at (858) 784-3239.

Respectfully submitted,

A handwritten signature in black ink, appearing to read "John W. Wallen, III", is written over a horizontal line. The signature is stylized with a large, sweeping initial "J".

John W. Wallen, III

Reg. No. 35,403

Attorney for Applicant(s)

Johnson & Johnson  
One Johnson & Johnson Plaza  
New Brunswick, NJ 08933-7003  
(858) 784-3249  
DATE: 4 October 2001